



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/963,292	09/25/2001	David Gok Louie	M-11978 US	9643

33031 7590 10/19/2005

CAMPBELL STEPHENSON ASCOLESE, LLP
4807 SPICEWOOD SPRINGS RD.
BLDG. 4, SUITE 201
AUSTIN, TX 78759

EXAMINER

WON, MICHAEL YOUNG

ART UNIT	PAPER NUMBER
----------	--------------

2155

DATE MAILED: 10/19/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/963,292

Applicant(s)

LOUIE ET AL.

Examiner

Michael Y. Won

Art Unit

2155

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 26 August 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-37 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-37 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 1, 14, and 24 have been amended. Claims 1-37 have been examined and are pending with this action.

Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 1-10, 12-22, 24-32, and 34-37 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tajalli et al. (US 5,361,359 A) in view of Noguchi et al. (US 5,812,981 A).

INDEPENDENT:

As per ***claim 1***, Tajalli teaches an apparatus for creating an audit trail for an application program (see col.4, lines 54-59 and col.6, lines 63-65), the apparatus comprising:

means for selecting (see col.7, lines 1-2:"collects audit information as specified by the configuration data");

components to be audited from one or more components, wherein the one or more components are defined by the application program being audited (see col.15, lines 3-7 & 17-18: "audits activities of all application programs" and col.16, lines 16-24); and

one or more operations to be audited (see col.6, lines 63-65; col.15, lines 63-66: "tracks operating system requests" and col.16, lines 16-24);

wherein the means for selecting components to be audited and the operations to be audited is included in the application program being audited (see col.16, lines 16-24: audit configuration data... may indicate which requests are to be audited depending upon...the nature or identity of an "object" accessed. (An object could be, for example, a file or a program)").

Tajalli does not explicitly teach of a *business* component of an application program. Noguchi teaches of a business component of an application program (see Fig.1 and col.4, lines 25-40).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to employ the teachings of Noguchi within the apparatus of Tajalli by implementing business application program consisting of business components within the apparatus for creating an audit trail for an application program because Tajalli teaches that businesses and governments organizations wish to control how data will be processed and protect inventory records (see Tajalli: col.1, lines 24-27 & 36-41). Furthermore, these differences are only found in the nonfunctional descriptive material and are not functionally involved in the steps recited. The auditing of components of an

application program and one or more operations will be performed would be performed regardless of the application program type. Thus this descriptive material will not distinguish the claimed invention from prior art in terms of patentability.

As per **claim 14**, Tajalli teaches a system for creating an audit trail in an information system (see col.4, lines 54-59 and col.6, lines 63-65), comprising:

an application program (see col.6, lines 63-65) comprising:

at least one component (see col.15, lines 3-7 & 17-18: "audits activities of all application programs" and col.16, lines 16-24);

a user interface operable to allow a user to select: one or more operations to be audited on (see col.7, line 9-10 and col.16, lines 16-24: "configuration data... may indicate which requests are to be audited");

a set of instructions operable to detect when the selected operations are performed by the application program (see col.15, lines 3-7); and

a set of instructions operable to generate an audit transaction record when the selected operations by the application program are detected (see col.15, lines 15-20).

Tajalli does not explicitly teach of a *business* component of an application program including one or more selectable fields. Noguchi teaches of a business component of an application program (see Fig.1 and col.4, lines 25-40) including one or more selectable fields (see Fig.2 and col.4, lines 59-65).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to employ the teachings of Noguchi within the system of Tajalli by

implementing a business component of an application program including one or more selectable fields within the system for creating an audit trail in an information system because Tajalli teaches that businesses and governments organizations wish to control how data will be processed and protect inventory records (see Tajalli: col.1, lines 24-27 & 36-41) and such precision of an application program's components and fields allows the "administrator" to specify " the nature of audits by specifying audit configuration data" (see Tajalli: col.6, line 67-col.7, line 1). Furthermore, these differences are only found in the nonfunctional descriptive material and are not functionally involved in the steps recited. The auditing of components of an application program and one or more operations will be performed would be performed regardless of the application program type. Thus this descriptive material will not distinguish the claimed invention from prior art in terms of patentability.

As per **claim 24**, Tajalli teaches a method for creating an audit trail in an information system (see col.4, lines 54-59 and col.6, lines 63-65), the method comprising:

performing audit trail functions in an application program being audited (see col.16, lines 13-24) including:

generating a list of components included in the application program (see col.15, lines 3-7 & 17-18: "audits activities of all application programs" and col.16, lines 16-24);

presenting the list of components to a user (see col.15, lines 3-4: "makes available to the administrator");

allowing the user to select one or more of the components to be audited (see col.6, line 67 to col.7, line 4 and col.16, lines 16-24);

presenting the list of operations that can be performed on the components to a user (see col.15, lines 3-4: "makes available to the administrator" and col.15, lines 63-col.16, line 2);

allowing the user to select one or more of the operations to be audited for the selected components (see col.6, lines 63-65; col.15, lines 63-66: "tracks operating system requests" and col.16, lines 11-24: "audit configuration data, which is specified by the administrator"),

wherein the generating the list of components, the presenting the list of components, the allowing the user to select one or more of the components, the presenting a list of operations, and allowing the user to select one or more of the operations are performed by the application program being audited (see col.16, lines 16-24: audit configuration data... may indicate which requests are to be audited depending upon...the nature or identity of an "object" accessed. (An object could be, for example, a file or a program)).

Tajalli does not explicitly teach of a *business* component of an application program. Noguchi teaches of a business component of an application program (see Fig.1 and col.4, lines 25-40).

It would have been obvious to a person of ordinary skill in the art at the time the invention was made to employ the teachings of Noguchi within the apparatus of Tajalli by implementing business application program consisting of business components

within the apparatus for creating an audit trail for an application program because Tajalli teaches that businesses and governments organizations wish to control how data will be processed and protect inventory records (see Tajalli: col.1, lines 24-27 & 36-41). Furthermore, these differences are only found in the nonfunctional descriptive material and are not functionally involved in the steps recited. The auditing of components of an application program and one or more operations will be performed would be performed regardless of the application program type. Thus this descriptive material will not distinguish the claimed invention from prior art in terms of patentability.

DEPENDENT:

As per **claim 2**, which depend on claim 1, Tajalli further teaches wherein the application program further comprises: means for detecting when the selected operations are performed (see col.18, lines 45-50).

As per **claim 3**, which depend on claim 2, Tajalli further teaches wherein the application program further comprises: means for generating an audit transaction record regarding the business component when the selected operations are detected (see col.7, lines 1-3 and col.16, lines 30-36).

As per **claim 4, 15, and 25**, which depend on claims 1, 14, and 24, respectively, Tajalli further teaches wherein the operations include at least one of: update, add, copy, and delete (see col.10, lines 7-13).

As per **claim 5, 16, and 26**, which depend on claims 1, 14, and 24, respectively, Tajalli teaches of further comprising user interface means for allowing the user to

restrict access to the audit trail by at least one of: an employee identifier, an employment position, and an area of responsibility (see col.15, line 66 to col.16, line 1).

As per **claim 6, 17, and 28**, which depend on claims 3, 14, and 27, respectively, Tajalli teaches of further comprising means for storing the audit transaction record in an external database (see Fig.1 and Fig.3, #118).

As per **claims 7, 18, and 29**, which depend on claims 3, 14, and 27, respectively, Tajalli teaches of further comprising means for storing the audit transaction record in a file (see Fig.1, #119).

As per **claims 8, 19, and 30**, which depend on claims 7, 18, and 29, respectively, Tajalli teaches of further comprising means for importing the audit transaction record stored in the file to a database (see col.16, lines 44-46).

As per **claims 9, 20, and 31**, which depend on claims 3, 14, and 27, respectively, Tajalli further teaches wherein the audit transaction record includes at least one of: an identifier for the entity that accessed the business component or the field, the operation that was performed on the business component, when the operation was performed, a previous value of the field, a current value of the field, and how the value of at least a portion of the business component was changed (see col.16, lines 16-24; "identity of any "objects" accessed").

As per **claims 10, 21, and 32**, which depend on claims 3, 14, and 27, respectively, Tajalli teaches of further comprising means for allowing the user to query one or more of the audit transaction records (implicit: see col.17, lines 14-15).

As per **claims 12 and 34**, which depend on claims 1 and 24, respectively, Tajalli and Smaha further teaches wherein the one or more business components comprise one or more fields, and further comprising: means for selecting the one or more fields to be audited; and means for generating an audit transaction record when one of the selected operations on one of the selected fields is detected (see claim 14 rejection above).

As per **claims 13, 22 and 35**, which depend on claims 1, 14, and 34, respectively, Tajalli does not explicitly teach of further comprising means for allowing the user to restore the one or more of the fields to a previous state or value. Smaha teaches of allowing the user to restore the one or more of the fields to a previous state or value (see col.9, lines 49-55). It would have been obvious to a person of ordinary skill in the art at the time the invention was made to employ the teachings of Smaha within the system of Tajalli by implementing restoring the one or more of the fields to a previous state or value within the apparatus, system and method for creating an audit trail for an application program in an information system because such functionality allows the system to go back to the state prior to a "misuse".

As per **claim 27**, which depend on claim 24, Tajalli teaches of further comprising: detecting when the selected operations are performed on one of the selected business components; and generating an audit transaction record when the selected operations are detected (see claim 2 and 3 rejections above).

As per **claim 36**, which depend on claim 24, Tajalli and Noguchi further teach of a computer program product comprising: instructions for implementing the method of claim 24 (see Tajalli: col.15, lines 48-52).

As per **claim 37**, which depend on claim 24, Tajalli and Noguchi further teach of a data signal comprising: instructions for implementing the method of claim 24 (implicit: see Tajalli: col.15, lines 48-52; col.17, line 6).

3. Claims 11, 23, and 33 are rejected under 35 U.S.C. 103(a) as being unpatentable over Tajalli et al. (US 5,361,359 A) and Noguchi et al. (US 5,812,981 A), further in view of Darnell et al. (US 5,596,700 A).

As per **claims 11, 23, and 33**, which depend on claim 2, 14, and 27, respectively, Tajalli and Noguchi do not explicitly teach of further comprising means for prompting the user to enter a comment or a description of the operation when the selected operations are detected. Darnell teaches of prompting the user to enter a comment or a description of the operation when the selected operations are detected (see col.3, lines 19-24 and col.11, lines 30-31). It would have been obvious to a person of ordinary skill in the art at the time the invention was made to employ the teachings of within the system of Tajalli and Noguchi by implementing prompting the user to enter a comment or a description of the operation when the selected operations are detected within the apparatus of creating an audit trail for an application program because such an implementation provide numerous benefits similar to the functionality of writing notes

Art Unit: 2155

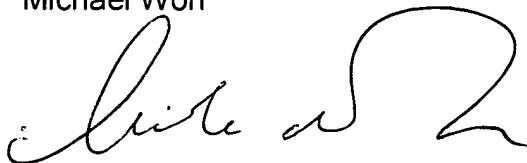
on paper (see Darnell: col.1, lines 42-44), notepads or sticky pads (i.e., for reminders or sharing information with others).

4. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Michael Y. Won whose telephone number is 571-272-3993. The examiner can normally be reached on M-Th: 7AM-5PM.

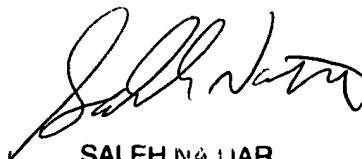
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Saleh Najjar can be reached on 571-272-4006. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Michael Won



October 12, 2005



SALEH NAJJAR
SUPERVISORY PATENT EXAMINER